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ABSTRACT

Principals have an essential role in school development that includes an institution's effort to reach its goals and objectives. The main responsibility for development lies in the principal's knowledge, team building, involvement, and volunteer gathering. Setting the stage for development means establishing quality as a comprehensive goal, promoting service awareness, and conducting student recruitment. Program support is built by increasing the knowledge of all involved, projecting program costs and benefits, obtaining endorsements, and preparing others for development. Effective program leadership is developed through carefully selected governing boards with clear responsibilities. Development plan implementation needs and goals can be communicated through school newsletters. Donation campaigns include mail, phone, and direct solicitation. Activities such as seeking grants, giving programs, and capital campaigns can expand school financial support. How to evaluate principals, development directors, and program effectiveness as well as how to renew the program are described. Appendices A through F provide resources for more information; a principal's development checklist; notes from an article on the annual giving campaign, including information about the solicitation letter; a phonathon form; and sample policies on gifts. (4 references) (EJS)

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The Role of the Principal in Development

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The Role of the Principal in Development

by Rev. Joel M. Konzen, SM

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About the Author

Father Joel M. Konzen, SM, served at Marist School in Atlanta, Georgia from 1980 to 1989, first as Director of Admissions and then as Headmaster, with the title changing to President in 1988.

During that time, Father Konzen established the development program at Marist, which included a comprehensive annual giving campaign, an endowment fund and a stronger, larger development committee of the board. The annual appeal increased fivefold, reaching $500,000 in 1988-89, while the endowment fund tripled. Today, Marist High School educates 900 students each year and enjoys a strong and viable funding base due to Father Konzen's leadership. These achievements are even more commendable considering that during his administration Father Konzen taught a class each year and for six years served as a member of the Executive Council for the Washington Province of Marists.

Father Konzen holds a Master of Divinity from Notre Dame School of Theology and a Master of Arts in Systematic Theology from The Catholic University of America. He is currently engaged in master's studies in educational administration at The Catholic University of America.

Foreword

The fifth book in NCEA's new series on development for Catholic schools examines the role of the principal in development. In a comprehensive analysis, Rev. Joel Konzen, SM, describes the various responsibilities of principals in regard to the development efforts of their schools, offering practical guidelines on how to build support, implement plans, find new sources of giving, make evaluations, and continue building for the future.

Furthermore, he shows the importance of the school's chief administrator in taking an active leadership role in student recruitment and retention, public relations, fundraising, hiring development personnel, and other components of an effective development program. His text verifies the essential role of the principal in maintaining a viable development program for the school.

I wish to thank the critical reviewers of this publication for their efforts and contributions: Dr. Thomas S. Edwards and Mr. Brian Boston, both of the NCEA Secondary School Department; Dr. Robert Kealey, Executive Director and Sister Kathleen Collins, SFCC, Associate Executive Director, both of the NCEA Elementary School Department; Dr. Rita M. Carey, SNJM; Mrs. Kelly Barnes, Principal of Our Lady of the Assumption School in Atlanta; Mr. Joseph T. Simonson, Director of Development, Department of Education, Diocese of Manchester, New Hampshire.

Mary V. Burke, SNJM
Associate Executive Director
Secondary School Department

Acknowledgements

For an appreciation of the principal's role in development, I am indebted first to the staff members and the advisors at Marist School in Atlanta, who some years ago guided an inexperienced principal along a progressive and exciting path toward the building of a comprehensive program of support. They encouraged me to attend conferences, to learn from local and national resources, and to undertake a series of development efforts that, without their constant interest, might have been postponed or ignored in the swell of administrative duties. I came to value their assurance as much as their advice.

Kelly Barnes, Principal of Our Lady of the Assumption School in Atlanta, offered excellent insights from her experience as a resource to elementary school principals and from her wide knowledge of development literature and practice.

What I have learned from Sister Mary Burke, SNJM, in the course of preparing this publication also cannot go unacknowledged. The time Sister Mary afforded me at NCEA for discussion of the manuscript has contributed much to this publication.

Father Joel Konzen

Chapter I. Introduction

In one generation, Catholic schools have been transformed. Now Catholics take for granted that the anchoring influences of parishes, neighborhoods and sponsoring religious congregations change with resulting ramifications to the school. School leaders realize they will either shape what lies ahead or be constricted by the unknown. Today the principal envisions the school's future and builds a leadership team to direct that future. The essential role of development ensures the stability and increases the quality of the school.

Principals, pastors and school boards increase their own knowledge of and involvement in development, recruiting talented allies in the process. They seek to build support in order to keep pace with new challenges. Motivated by the goal of high-quality Catholic education and service, school leaders establish and expand development programs. As others perceive the strength of their direction, volunteers and funding follow.

This publication was written to guide principals toward their essential role in school development. For some, this fastback offers reassurance; for others, it outlines the initial steps. The term "principal" in this publication will refer to the chief administrator of the school. The terms "annual giving campaign," "annual appeal," and "annual campaign" are used interchangeably.

Whether the reader is a beginner or a master in school development, this booklet reinforces the conviction that the principal carries an essential, exciting and emancipating role in development.

Chapter II. The What and Why of Development

Development is the total effort on the part of the institution to

1. analyze its philosophy and activities
2. crystalize its goals and objectives
3. project those goals and objectives into the future
4. take the necessary steps to reach them

Development engages the school at every level in an ongoing, well-orchestrated plan for advancement. Having a broader scope than fund-raising, which satisfies an immediate goal through a single project, development encompasses every aspect of a school's plan for growth: public relations, student recruitment, faculty recruitment, faculty improvements, volunteers, donors, annual funds and endowments.

Development is a science whose successful methods are currently implemented in thousands of Catholic schools. In 1990, NCEA reported that 22% of the nation's Catholic elementary schools have established endowment funds and that 85% of the Catholic high schools have development offices.

Through the development program, principals pursue two important types of planning. The first type is planning for stability. Effective development programs create new

sources of revenue to offset reduced subsidies and rising costs and to generate scholarship funds. The second type, planning for improvement and expansion, includes program growth, additional activities, plant enhancement and endowments. Schools with stable financing attract additional families to the school and strengthen the perceptions of the school in the community.

Chapter III. Responsibilities for the Principal

Principals take the main responsibility for development in four areas:

Knowledge

A basic knowledge of development leads to implementation, additional understanding, and more advanced applications. What begins as a rudimentary introduction can expand to a comprehensive development program. The principal acquires this information through a combination of activities: reading, attending conferences, visiting schools with successful programs and conferring with a mentor or consultant.

Team Building

No principal succeeds in development alone. The principal builds partnerships with all key groups and individuals necessary to the development program. The following list describes the main teams:

1. pastor and principal
2. governing group, pastor and principal
3. development director (paid or volunteer) and principal
4. campaign (annual or capital) leader and principal
5. faculty and principal
6. development volunteers and principal
7. donors and principal

The governing group, usually a school board, exerts an essential leadership role in development. The principal educates the faculty and staff to the goals and programs within the development plan.

Involvement

Involvement takes time and requires presence and responsiveness. Principals face so many demands on their time that, initially, they may perceive the tasks of the development program as "the place to draw the line." On the contrary, development belongs in the goals and priorities of chief administrators, taking up 20% to 40% of their work week. Time devoted to development benefits everyone in the school. The principal's leadership and concern on behalf of the school is expressed as much through development as through other activities.

Development increases the problem-solving resources of the school, ultimately allowing the principal to spend more time figuring and less time fixing.

In order to make the time necessary for development, the principal needs to utilize a combination of strategies. These solutions include

1. delegating
2. increasing personnel (paid or volunteer)
3. using management skills
4. selecting volunteers with expertise
5. leaving less important tasks undone
6. applying time management techniques
7. using a mentor or consultant to eliminate trial-and-error approaches

Volunteers with Expertise

Through the members of the governing board and the various committees, the principal gathers people with complementary expertise. Principals usually possess extensive educational knowledge but need professional advice, which volunteers can provide, in these other areas: marketing, public relations, annual fund drives, long-range planning, capital campaigns, business management and forms of planned giving. Most preparation for educational administration centers on instructional leadership, yet the areas mentioned above also assume increasingly important roles in a school's future.

Because knowledge, team building, involvement and volunteers with expertise interrelate, benefits in one area often enhance the others.

Chapter IV. Setting the Stage

Quality is the Comprehensive Goal

Every school's particular history shapes what is possible or expedient for that school, and the principal's own vision becomes a compelling instrument for generating the next chapter in the school's history.

In successful organizations, the leader's vision coalesces with the hopes voiced by others. Together, they formulate plans in order to realize their future goals. Principals engaged in realizing a vision are likely to be uncommonly productive leaders. Schools reflecting this vision in a convincing philosophy and sense of mission evolve as organizations whose high-quality performance serves as a model for other schools. The major spokesperson of that vision, the principal, translates it to students, faculty, parents, parish, foundations and donors. The principal focuses on setting the standards in hiring, faith formation and excellence in all school programs.

- **Hiring**

Word spreads quickly about the presence of caring and highly motivated professionals on the staff. Hiring the best available personnel results in daily benefits to students and creates the conditions in which development can thrive. The single greatest decision in quality control is the hiring decision. When initiating the hiring process for personnel, principals should

1. advertise positions broadly
2. uphold the school's standards for excellence withou compromising in order to fill a position

3. outline clear expectations for the academic excellence and the faith mission of the school

- **Faith formation**

Religious and spiritual growth distinguishes Catholic schools from public schools. Principals increase personnel and financial resources to guarantee this fundamental service to the faith life of school families. Catholic schools must evidence what they profess.

- **The academic program**

The values that teachers, parents and principals espouse as they plan to meet the educational needs of all Catholic school students create the foundation for a philosophy of excellence rooted in a mission of service. A school that lives out these goals does not want for quality or support. In schools where academic excellence is not yet a shared expectation, it is the principal who leads the way with the knowledge that every school is judged worthy of its support by the effectiveness of its teaching and the success of its students. Principals who can easily justify tuition expenses by pointing to the quality of learning and teaching in their schools will have little difficulty in asking for additional contributions.

- **Student activities**

The principal exerts tremendous influence in supporting the quality of cocurricular programs, a feature that plays a prominent role in presenting the school as an educational opportunity. When families observe that the school makes a serious effort to provide activities suited to every student's needs and talents, they know the school uses its resources wisely.

- **Service orientation**

Schools are service-oriented organizations, and Catholic schools especially so. A school renders service both to the school family and to the broader community. Students and school personnel offer service to their school community when they exhibit a spirit of hospitality and concern in greeting callers and visitors, in the welcome they give to parents for conferences, and in their personal attentiveness to inquiries from parents and others. In addition, student,

staff and family involvement in service to the larger community affirms a school's commitment to giving from its own bounty before asking others to do the same. On an annual basis, the school asks the broader community for support. When those who are contacted know the school's record for community-spirited service, they are likely to respond in positive ways.

- **Physical plant**

The school's physical plant conveys a sense of cleanliness and aesthetic appreciation both to the school community and to visitors alike. Evidence that a school makes wise and responsible use of its limited resources sends a positive message to potential contributors about how the school will value their own carefully apportioned donations. Freshly painted walls, visitor parking, clean hallways and walkways, cut grass, good lighting, and attractive and meaningful visual displays all express the hospitality and warmth that signify stewardship. Above all, school visitors should be able to witness that the facility is primarily designed and maintained in order to support educational purposes.

Public Relations

In order for the school's total development efforts to succeed, it must promote an awareness of its service through public relations. According to the National School Public Relations Association, "Public relations is a systematically planned, two-way process of communications between an educational organization and its internal and external publics."

The principal is involved in decisions that determine who will undertake the public relations efforts, what approaches the school will implement, and what involvement school personnel will have in the program.

The public relations program promotes the activities of the school in its community, thereby increasing the level of good will in the school and making people aware of what the school does and what it has to offer.

At first, a designated volunteer can prepare some simple fliers and occasional news releases. For a comprehensive public relations effort, however, regular and professional communication needs to reach all of the school's constituencies: students, faculty, parents, parishioners, volunteers,

graduates, donors and friends. Class reunions, a monthly newsletter, a school brochure, press releases and other promotional materials tell the story of the school today. The public relations program educates others to the academic quality, the standards and expectations, the achievements and opportunities, the faith community, and the service outreach which exist at the school. The public relations program also introduces plans for the future in curricular and cocurricular programs, plant and equipment improvements, and scholarships.

The principal's concerns in public relations include

1. guaranteeing the integrity of all communications about the school
2. setting policy on who speaks for the school
3. overseeing a yearly plan for communications, designating specific actions in short time intervals
4. highlighting the positive achievements of all associated with the school
5. involving as many people as possible in representing the school's total education program to the public

Usually, the principal speaks officially for the school and designates any other spokespersons; another individual coordinates all written releases and seeks the principal's approval as necessary. Thus, two people in regular communication with each other handle all official notices from the school.

Among the publicized features of the school, development should be represented on a regular basis. School publications teach others the meaning of development through a regular column featuring topics which both inform and inspire. For example, in a given year the column may address the following topics:

1. the what and why of the annual appeal
2. the what and why of the phonathon
3. a salute to volunteers and their roles
4. memorial gifts
5. annual and endowed scholarships
6. recognition to special donors
7. the development committee

Announce major gifts to the school from local businesses. Newswriters can make new programs made possible through development income the subject of their news stories.

Routinely report capital campaign plans and results as well as any changes in school and governing group leadership, alliances with other schools or businesses, and significant foundation support.

Finally, the principal encourages involvement in community activities. The principal serves as the school's most visible representative in community service organizations, public speaking engagements and educational services. Faculty and student participation in service programs, community needs and volunteer fund-raising provides valuable interaction between school representatives and the larger community. Constituents will observe the principal's personal participation in these activities and the encouragement given to others in the school to render service.

Student Recruitment

The most commonly asked question to appraise the school's vitality is "What is the enrollment?" Every Catholic school, including those with a waiting list, should engage in a student recruitment program. A stable or growing enrollment makes the case for financial support more viable.

The principal's responsibilities in student recruitment include

1. establishing a marketing committee and assisting in its tasks
2. initiating a recruitment program and providing necessary resources
3. involving students and teachers in recruitment activities to create a spirit of hospitality and to provide firsthand information about daily life in the school's programs
4. providing activities that allow prospective students to visit
5. preparing a well-organized and inviting open house

One of the principal's chief responsibilities is providing a plan for recruitment and eliciting involvement from those in the school. A comprehensive recruitment effort involves students, teachers, parents, graduates, parish leadership, and development and public relations personnel. The principal helps to select marketing committee members, orients members and attends committee work sessions. Once the committee compiles information on target constituencies,

the members should design a marketing plan which will outline the needed participation of various groups both within and outside the school. The principal should ensure that the school's budget is sufficient for publications and promotions.

The open house is one of the most significant events in the recruitment calendar. It is not the time to spare effort or expense in terms of printed material, building maintenance, presentations or displays. The principal needs to guarantee that all printed materials are ready in abundance and encourage teachers to prepare inviting presentations. The object of the open house not only includes informing prospective families about the school but also includes actively encouraging applications. If parents or students ask questions or need information that cannot be provided at the open house, designate someone to contact the parent or student soon afterwards.

The principal needs to give equal attention to student retention. Policies and procedures for both student and parent exit interviews constitute the first step. Once the principal determines students' patterns for leaving a school, the principal discusses possible improvements with the teachers and the governing group. Charting a student-by-student retention profile of the school each year provides a clear analysis of this essential component of enrollment.

Building Support

In addition to strengthening public relations and student recruitment, the principal creates support for the development program.

- **Learning about development**

The principal, faculty and governing group must increase their knowledge of development. The principal selects various ways to bring all group members to a better understanding of the nature of development and their corresponding roles. Sources of information on development include diocesan personnel, schools and other non-profit organizations with successful development programs, books, tapes, speakers, workshops, and classes. Outside the local area, representatives of professional organizations can also provide publications and advice. (See Appendix A.)

As the groups become better informed, questions such as the following will arise: How much of the principal's time will development require? Who will manage operations at the school when the principal is involved with development? If there is a restricted budget or serious cutback, how will funds be assembled for first-year costs? How will the school move to a more professional program? Each question deserves a realistic answer.

- **Projecting costs and benefits**

A development program requires money. Usually, it takes three years for the program to reach maturity, at which time it will average twenty cents of expense for each dollar raised. The first year will prove the most challenging, but a clear and strong start will soon repay initial costs.

- **Obtaining endorsements**

Arrange a meeting with the people whose endorsements are needed to begin a development program. The following is a brief summary of the help a principal seeks from individuals or groups:

Pastor:

* help in identifying and recruiting leadership
* assistance in donor research, solicitation and recognition
* attendance at important development events
* support for the interests of development in parish organizations and scheduling considerations

Diocesan personnel:

* assistance in starting a program, especially through a presentation to significant groups at the school
* budget approval as required
* a forum for meeting with those working in development in other schools
* information on the possible sharing of development personnel with other schools

Religious congregation (if the school is governed by the congregation):

* help in structuring the governing group so that it is prepared to undertake a development program
* consultation with community representatives to secure the group's support
* involvement in donor solicitation and recognition

Governing group head:

- leadership in development initiatives
- monitoring development committee progress
- assistance in donor research and identifying leadership for campaigns
- donor solicitation
- financial contribution to the school

Parish council:

- coordination of development with parish activities and fund-raisers
- budget support and approval as required

• Preparing others for development

Periodically, it helps to arrange for a presentation by a development professional whose program surpasses yours. Solicit a speaker to address those who will be involved in the development effort, such as the pastor, the parish council, members of the governing group, parish staff, and faculty.

Regularly provide governing decision makers with reading on development, such as NCEA fastbacks and other publications. The more the comprehensive nature of development is understood and embraced, the more likely it is that a program will be broad enough to satisfy the variety of needs in the school. Helping potential collaborators to see "the big picture" will strengthen their support and increase their confidence.

Leadership For Development

The effectiveness of a development program depends on the qualifications and involvement of the governing group's leadership whether this group functions as a committee of the parish council, a school board, a development committee of the school board or a principal's development council that is separate from the board.

• Recruitment and selection

In order for the governing group to be composed of people who can effectively assume development responsibilities, the principal recruits people whose backgrounds merit selection. If there is a formal nomination or appointment process, the principal works with a committee that monitors the process. In addition to having a demonstrated interest in the school and an understanding of its mission,

the potential member should be asked to join the governing *group for other compelling reasons. Some* members, for example, can offer an extremely valuable perspective or important expertise, such as financial planners, management advisors, economists, marketing executives, attorneys and public relations specialists. Members who are bankers, civic officials, insurance agents or legal advisors can help the school gain access to people and resources in the community. Others may have attained an amount of wealth themselves and associate regularly with donors of community causes. Ideally, more than one of these reasons will apply to prospective nominees. Members of the governing group should reflect a variety of associations with the school: past and current parents, graduates, parishioners, and others in the community who are committed to Catholic education.

• **Clarifying responsibilities**

In issuing the invitation to membership, the principal explains the expected tenure on the governing group, reasons for asking the individual, general responsibilities and subcommittee responsibilities, expectations for attending meetings and development events, service as donor and solicitor in development, and representation of the school in the community.

The person who chairs the governing group must be committed to the aims of the school's development program and be able to give time to the variety of meetings and projects development entails. The chairperson generally exercises leadership in donor solicitation as well as in the other responsibilities associated with heading the governing group. Often, this person has the most impressive professional background among the members.

• **Committees**

The governing group is typically a school board. The following are needed subcommittees for the governing group:

1. finance
2. plant and facilities
3. personnel

4. marketing
5. nominations and governance
6. development
7. others as needed

Although development is a separate committee, all board members share the development responsibilities of solicitation, research and prospect rating. The principal may assign school staff members to the committees; however, he or she still attends finance, marketing and development meetings.

- **Planning**

Successful development requires long-range and annual plans with reachable goals for the school's program. The principal, the pastor and the governing group devise and regularly update a written plan related to the school's mission and/or philosophy statements. Various processes exist for school planning, all of which include consulting key groups and individuals at the school and which address major features of the school such as enrollment, faculty and staff, facilities, finance, development, communications, curriculum, and student activities. The principal takes a leadership role in the process, involving those who will execute the plan, gathering needed information, taking responsibility for implementation, and accounting to the board for the effectiveness of each year's efforts.

- **Soliciting donations**

With the head of the governing group, the principal ordinarily solicits donations from the members of the governing group in the course of an annual or capital campaign.

- **The development committee**

For a successful development program, the school needs a development committee that is a standing committee of the governing board or that is established prior to forming a governing body. In either case, the principal's role remains the same.

The principal works with the committee to establish development priorities for the year, most importantly in organizing the annual giving campaign. The committee builds a campaign timeline around dollar goals and the total number of people who will be solicited. Members join the

principal in researching donors and making some solicitation calls. The committee meets often enough to prepare adequately for reaching each established goal and reports on its progress at each meeting. The principal shares responsibility for convening the group with the committee chairperson and the development director.

• The development director

To implement a development program effectively, a paid or volunteer person should assist the principal in the development functions. A development officer, usually called a development director, acts as a close assistant to the principal in conducting the annual giving campaign, recruitment activities and public relations functions.

Answering these questions may help determine the need for a development director:

1. Is it possible that some of the school's goals in development may not be reached without a director?
2. Has the principal reached the point at which nothing more can be delegated in order to make time for development activities?

If the answer is yes in either case, and the school wants continued growth in its development program, sufficient need exists.

Generally, the principal can expect the paid development director to make a greater commitment of time to the school's program than a volunteer. (How the principal works with others to hire a director is explained in ***How to Hire a Development Officer*** by Jack Peterson, NCEA, 1990.) Whether the person serves in a volunteer or a paid capacity, the working relationship with the principal and the procedures for development are the same.

The principal and the development director become partners in all of the school's advancement efforts. The quality of their planning, leadership and evaluation in development will determine how successfully the school meets its objectives.

Usually, the development director is accountable directly to the principal, not to the governing group. Once the school has selected a director, the principal and the development director finalize the goals and priorities for the year. To secure the foundation for a well-balanced program in the future, the principal will want to assure that the following

initiatives are undertaken and completed: the annual giving campaign, grant requests, an expanded record file, donor research, recruitment activities and improved publications. Using the job description and agreed-upon expectations, the principal outlines criteria and schedules the performance evaluation.

The principal clarifies the director's relationship with the pastor, members of the governing group, faculty, staff, and volunteer personnel, addressing questions that include the following: In what situations will the director work with these parties directly? In what situations will the effort be shared by the principal? Which contacts are primarily the development director's? What types of special requests from faculty can the director accommodate?

The principal should encourage and support the director's participation in seminars and conferences designed to enlarge the director's and the school's knowledge of development practices. If a local development officers group exists, the principal should see that the school's officer joins the group. At times, the principal and the officer attend development-related educational events together.

Although the range of activities the development director handles will vary, typically the development director cultivates volunteer support, writes proposals, designs annual giving campaign materials, conducts the phonathon, oversees the updating of information on the computer, compiles data for the newsletter, works with the printer, prepares donor acknowledgment letters and attends activities involving the school's graduates. With the principal, the development director solicits donations and implements the student recruitment process.

In order to make the best use of the director's time, it may be necessary to hire part-time or full-time secretarial assistance in development. A volunteer or paid staff person can update all records, tally and record donations, clip school-related items from the newspaper, and handle development-related correspondence. It is important not to overburden volunteers with duties that require a full-time secretary. The principal analyzes the need, the cost efficiency, and the savings in time, when considering added personnel or contracting with a local provider for clerical or publishing services.

Equipment and Supplies

The principal must assure that there is a properly outfitted work area for development. This requires the usual desk, filing and counter space, as well as some storage space for development materials. Other equipment for development use includes a telephone, a typewriter, a postage meter, a calculator, a camera and a computer.

Maintaining records and generating mailings require a data base that, ideally, is maintained with the assistance of a suitable computer program. Schools not yet equipped with a computer data base for compiling and updating information on students, parents, graduates and others should plan to acquire the necessary computer and programs.

Before obtaining equipment, the principal should consider whether to include desktop publishing (word processing and publications design) capabilities. Many schools use this method of preparing newsletters, annual reports, special announcement fliers, brochures and quarterly publications. Desktop publishing will soon be a standard feature of Catholic school communications.

Printed paper materials will also be needed. All of the school's important mailings and notices ought to bear the standard logo. Development generates a great amount of mail and publications, which should be coordinated so that readers can easily recognize the sender. Schools should have two types of stationery, similar in appearance: bond-quality letterhead and copier-quality letterhead for mass mailings, with two grades of envelopes to match. Larger, printed envelopes may be necessary for some mailings.

Many schools use brochures and promotional pieces for the annual campaign that require budget resources and production schedules. Other items might include a printed receipt of donations and printed reminders for outstanding pledges.

One supply that figures prominently into development is an accumulation of archival material related to the school. These include photographs, yearbooks, old uniforms, course catalogues, student newspapers, faculty lists, graduation and other event programs, dedication and liturgical materials, art work, and items from the school's history. A practical reason for preserving these is the occasional necessity to refer to them in order to glean information about past students or faculty members. Additionally, archival materials are very popular at class reunions.

The Development Calendar

The principal schedules development-related meetings and events into the school's master calendar, including the following:

1. governing group meetings
2. development committee meetings
3. an annual giving campaign kick-off event
4. annual giving campaign phonathon nights
5. meetings with graduates and other special support groups
6. volunteer training/presentation sessions for solicitors and callers
7. an appreciation event

Other development-related school events that also require advanced scheduling include

1. a beginning-of-the-year governing group retreat
2. social gatherings for the governing group or donors
3. an annual state-of-the-school meeting with parents
4. occasions for graduates, grandparents, friends and prospective students to visit the school
5. special school anniversary celebrations

In addition, the principal will want the following on a personal calendar:

1. strategy sessions with the development officer and key planning personnel
2. a solicitation schedule
3. development workshops and conferences
4. a publication schedule for the newsletter and other mailings

Annual giving campaign events take precedence over other school fund-raisers; the principal should schedule them as early as possible to prevent conflicts. Similarly, the scheduling of the open house takes precedence over other events, and the date should be selected and announced well in advance. (See Appendix B, "Principal's Checklist for Development.")

Chapter V. Implementing Development Plans

Communicating Needs and Goals

When a school embarks on a program for total development, the principal uses various avenues for communicating the school's goals. People respond to a request for financial support, when they perceive that the school is stable and continues to uphold quality in its academics, cocurricular programs and religious mission. Needs are not threats of closure or cutbacks. Rather, articulated needs are statements of projected growth and improvement. Some opportunities for communicating the school's projected plan include the following:

- **Governing group meetings**

The governing group normally assumes responsibility for preparing and updating the five-year plan on an annual basis. The initial plan requires six to twelve months of preparation. Annually updating the plan is a brief and more simple process. In addition to the long-range plan, the principal voices concerns about new areas requiring study through routine meetings. Eventually, these new concerns will be incorporated into the long-range plan. Then the development program will seek funding for these new items.

• **Parish staff meetings**

By presenting school needs at parish staff meetings, the principal can hear reactions from the pastor and other parish personnel, gather their ideas on proposed development efforts, and enlist assistance in identifying individuals for leadership. A blend of past achievements and new goals keeps the progress and promise of the development program before the parish staff.

• **Parish council meetings**

Parish council meetings are somewhat different from governing group meetings in that the school is only one topic among many and the group has a limited amount of time to devote to the school report. The council's interest is apt to be strongly financial, so these meetings provide the principal an opportunity to match the group's financial interest with emerging development plans.

As a routine responsibility, the principal should report successes in meeting announced development goals at parish council meetings.

• **Faculty and staff meetings**

Faculty and staff are the school's key communicators. They are the first line of support in the school's daily attention to its mission, and all development plans affect them. They share in the sense of fulfillment that accompanies the realization of development goals and, therefore, should have complete and immediate knowledge about the program's goals and successes.

• **Parent and graduate meetings**

Meetings of parent and graduate groups present excellent forums for relating the school's direction for the future and eliciting support. The most compelling presentations use actual data. Graduates have very little access to facts about staffing, costs and new programs. They probably remember what it cost to attend some years ago but may have scant awareness of present realities. Parents are very much aware of costs, but often do not have the opportunity to hear what the costs represent and how the school works to stretch their

tuition and giving dollars.

It is a good idea for the principal or development director to attend each meeting of parent and graduate groups and to make a brief presentation related to current development projects.

• **School newsletter**

Often underutilized as a communication source, the school newsletter can be considered a "consumer report," informing parents, parishioners and friends about the academic program and achievements; the religious components of classes, prayer, service and community efforts; and the special expression of the school's individual attention to students. Using a regular column or letter, the school can reach a larger constituency through adaptations or excerpts in other communications such as the parish bulletin, alumni newsletters, fact sheets, bulletin boards and pulpit announcements. The school can increase the development knowledge of its constituents by regular articles explaining development components as they relate to recruitment, public relations and the annual campaign.

The principal communicates campaign progress reports, recognition of volunteers, acknowledgements of donors, explanations of ways of giving (e.g., memorial gifts, scholarships, insurance), and enthusiasm for the future plans in academics, cocurricular activities and other programs.

• **School quarterly publications**

Schools with active public relations offices may publish a magazine-format journal that contains news and photographs not found in the newsletter. The quarterly is aimed at a larger audience, which includes graduates, foundations and corporations, parishioners, past parents, and donors. Because the style differs in this publication, the principal should be quoted in the course of a story on a feature of the school or the annual campaign. Once a year, the principal writes a comprehensive article on the achievements of the past year and the projections for the coming year.

• **State-of-the-school message/principal's report**

Annually, the principal should deliver a message to parents on significant happenings and changes in the current

year and speak of plans for the future. Those present can ask questions and offer opinions. This type of meeting serves as a vehicle for accountability to the parents as well as an introduction to upcoming initiatives in development.

Some schools issue a principal's report separate from the annual report that recounts the transitions and events of the school year and emphasizes areas for future attention.

- **Student newspaper**

If the school publishes a student newsletter, the principal can encourage some development-related news stories, especially if development has provided some program or equipment that benefits the students in a visible way. An article conveying student appreciation is effective and informative. Students need to know and to acknowledge that their parents and others are involved in generously providing for much of what they use and enjoy at the school.

- **Personnel contacts with the school**

Opportunities exist for helping potential supporters to become familiar with the school. In elementary schools, Grandparents' Day is a popular occasion for inviting students' grandparents to share the school day with their grandchildren. Graduate reunions and career days with graduates as speakers allow former students to return and learn firsthand what the school is offering while contributing their expertise. The principal can also host gatherings of the governing group and benefactors in connection with student performances. On all of these occasions, the principal speaks to the visitors.

- **Communication with the pastor**

Regular communication with pastors of the students represented is also important, especially in schools serving students from a number of parishes. This can be accomplished by

1. sending newsletters, annual reports, invitations to special events and personal notes about student accomplishments
2. inviting pastors to celebrate school liturgies
3. mailing notices for inclusion in church bulletins
4. attending parish functions

5. hosting a special annual gathering for pastors
6. visiting pastors personally
7. telephoning pastors on a regular basis

The Annual Giving Campaign

The annual giving campaign represents the greatest potential for sustained growth in school support. Strong participation in annual giving expands the volunteer and leadership base of the school and lays the foundation for even more extensive projects such as a capital campaign or a planned giving program. For most schools, the annual fund drive is the central component of a development program. The principal assures that, no matter what else is taking place in development, the priority of the annual campaign is apparent in scheduling, funding and communicating.

The annual giving campaign requires the principal to be involved with others in planning strategy, completing research, defining and explaining needs, making solicitation calls, charting the campaign's progress, and acknowledging gifts. Traditionally, the annual giving campaign includes these methods:

1. solicitation by mail
2. phonathon contact reinforcing the mail request
3. direct (face-to-face) solicitation
4. foundation and corporate requests and proposals

The mail solicitation begins the process. Then, the phonathon significantly increases the average amount of the letter-only gift by providing a personal request for support. Direct solicitation is the financial backbone of the campaign. Preceded by good research and conducted by carefully selected callers, direct solicitation produces the greatest dollar return. Foundation and corporate support will vary greatly from one place to another. Schools that use all of these methods in their campaign can be assertive in setting annual giving goals. (See Appendix C: The Annual Giving Campaign.)

• **Donor research**

In all of the school's funding campaigns, it is essential to create reasonable expectations about what potential donors may contribute. In its method, research is probably the most scientific feature of development. Documented

that whatever guesses remain are educated ones.

Principals seek assistance in analyzing the financial characteristics of potential donors from governing group and development committee members, the development director, the pastor, and carefully selected current donors. In addition, former principals, former pastors and teachers with many years at the school can offer important family and social information as necessary background information for donor research. It is essential to know as much as possible about the potential donor's

1. interests
2. philanthropic activity to other causes
3. education
4. relationship to the school
5. professional history and current employment
6. spouse and children (their schools, interests and professions)
7. civic involvement
8. religious affiliation
9. financial resources
10. inclination to support the school
11. associates (people to whom the donor might respond favorably)

From the donor research, the principal and/or development director decide on the requested amount, the proposed use of the donation, the two people to make the solicitation call and plans for giving recognition. Donor research yields essential data on organizations and individuals, indicating which contacts promise the greatest gift potential.

Schools can increase and refine their research methods by speaking with a professional in development, possibly at another school or local college; contacting a development consultant; or using resource books in a foundation library. (See *Steps in Direct Solicitation: Preparation, Presentation, and Follow-up* by Mary Tracy, SNJM, NCEA, 1990.)

- **Setting goals**

With members of the governing group, the principal shares the task of setting annual giving goals, which are based on recommendations from the development committee. Before the development committee can establish a dollar goal, members should have completed their donor

dollar goal, members should have completed their donor research and know the extent to which each solicitation method (mail, phonathon and direct contact) will be used in the campaign.

The annual giving campaign has two types of goals: participation and dollar. Participation goals project that a certain percentage of those who are contacted will make a gift. Dollar goals set a realistic minimum amount that the school plans to raise in the campaign. Especially in the early stages of a development program, watch participation figures as carefully as dollar goals. An increase in the percentage of those contributing implies an expected increase in dollars collected. No school reaches the saturation point in participation, even when all likely donors are contributing. Based on previous success and current research, participation goals should be adjusted upward each year.

Setting dollar goals too low fails to stretch solicitors to their maximum giving potential. Setting goals too high results in deficits and embarrassment. For mail and phone solicitation, project a reasonable increase in the previous year's average gift and multiply by the number of expected donors. Derive additional major gift projections from researched plans for direct solicitation contacts.

In order to reach the goal, the campaign extends the length of the school or full calendar year. Even with the major portion of giving occurring between September and January, the school receives and acknowledges gifts year-round. Providing monthly or quarterly payment plans for campaign pledges generates additional dollars. All gifts, including memorials and scholarship donations, are recorded as part of the annual giving campaign unless the gift is associated with a fund-raising event.

- **Solicitation by mail**

Before using mail or phone solicitation contacts, remove the names of all those donors who will be visited personally. Then, decide if the letter will stand alone as the school's general solicitation, or if it will be used in conjunction with a phonathon. The best approach is mailing to and telephoning everyone. The mail appeal goes out, followed

soon after by a telephone call to all potential donors. This approach is the most effective and requires careful advanced planning. Other approaches include

1. Mail-only: Parents, graduates and friends not slated to receive a direct solicitation visit are asked to send a contribution.
2. Mail for some; phonathon for others: Potential donors not previously contacted are phoned in order to establish initial personal contact. Also, previous donors who are capable of larger gifts are contacted by phone in order to invite them to give at an increased level. All others receive a mail request.
3. Mail to everyone, phonathon for non-respondents: Potential donors who have not responded to the mail appeal are contacted by phone.
4. Phonathon for everyone, mail to those not reached: All potential donors are called. Those unable to be reached receive a special mail appeal.

The approaches listed above are less effective than phoning and mailing to everyone, but they may be more manageable in the first years of a development appeal. The mail appeal is the easiest but least effective form of solicitation. The phonathon, on the other hand, holds the greatest potential for enlisting new donors and moving previous donors to new giving levels.

The formal solicitation letter includes the goals for annual giving, how donors can contribute, and whether the school will use contributions for specific operational purposes or special projects. The principal signs the letter; the pastor, campaign chairperson or president of the governing group may act as cosigner. A printed envelope, listing giving-level clubs and the school address, is enclosed in the mailing to encourage people to select the level at which their gift will be recorded in the school's annual report. Some schools add a printed brochure that highlights the school's case for support and distinguishes the levels of possible contributions. Usually, information on matching gift possibilities from employers is also included. (See Appendix D.)

If the school sends a follow-up mailing to non-respondents from the first mail appeal, a businesslike reminder should be used that takes for granted that people want to contribute but have delayed or forgotten to respond.

Prior to mail solicitation or a phonathon, the principal surveys the list of those who will be contacted and removes names of those whom it might be inappropriate to solicit. Confidential situations may exist, about which only the principal knows, that preclude asking someone for support.

• The phonathon

The principal shares in the decisions about volunteers, phoning facilities and times required for the phonathon. The principal attends at least several of the phonathon sessions, offering encouragement to the volunteers and often making calls. The principal's presence is especially important to development staff and to key volunteers. The principal signs the volunteer thank-you letters or acts as a cosigner with the development director. (See Appendix E.)

• Direct solicitation

The importance of direct solicitation in the annual giving campaign is rooted in the development maxim that 10% to 20% of the donors will contribute 80% to 90% of the dollars raised. Experience also teaches that donors are more likely to make a larger contribution when asked face-to-face. Consequently, the principal needs to make direct solicitation a priority in the annual giving campaign. (See *Steps in Direct Solicitation: Preparation, Presentation and Follow-up* by Mary Tracy, SNJM, NCEA, 1990.)

Donors are likely to be selected from among current and past parents, graduates, prominent individuals in Catholic and community causes, and local foundations and corporations. Because preparation makes a tremendous difference in the success of these visits, the principal should work carefully with others to research, plan strategies and prepare a successful presentation.

Two people make the solicitation call. These people should be carefully selected according to their relationship with the potential donor or their position in relation to the school. The team of two is drawn from the following people: the principal, the pastor, the school's development officer, and a governing group or development committee member. During most solicitation visits, the principal is present and speaks as the educational leader, describing the current student body, faculty, programs and the vision of the future. The other school representative speaks about

the goal and purposes of the campaign and typically requests the donation. During the visit, it is essential that the request specifies a gift amount and explains how that gift conforms with the annual campaign's purposes.

Individuals contacted during the course of direct solicitation continue to be valuable as friends, leaders and contacts for other development calls. The solicitation call demonstrates confidence in both the donor's unique ability to serve and his or her willingness to be generous. Many development representatives report of being directed by one donor to another, thereby discovering an ally who would have been missed had it not been for the personal solicitation call.

• Foundation and corporate requests

In the course of researching potential donors, the school should include foundations and corporations. Some corporations and foundations make gifts for unrestricted purposes and may give them in a single contribution or as a pledge payable over a number of years. Other gifts, commonly called grants, are given only for the purposes designated by the directors or trustees of the organization and require a special request for the planned use of funds according to the organization's stated guidelines.

Research on local foundations and corporations may yield information on possible unrestricted and restricted gifts. An unrestricted gift to the school of $50,000 paid over a five-year period can serve as one of the lead gifts in the annual giving campaign and secure a friendly and influential supporter in the community for later capital, endowment or special-purpose requests.

• Recruiting campaign leadership and phonathon volunteers

Effective leadership in the annual giving campaign is critical for its success. In consultation with the pastor, the development director and members of the development committee, the principal offers suggestions regarding the leadership for the annual giving campaign. Generally, a chairperson is chosen for each group of potential donors—present parents, past parents, graduates, friends, businesses and foundations. Because of the wide range of responsibilities entrusted to campaign leaders, they are selected

according to these criteria:

1. credibility within the group they will chair and solicit
2. ability to devote a significant amount of time to the campaign
3. capacity for leadership and productive work
4. ability to donate at a leadership level
5. record of previous school support

The principal asks these individuals to serve as leaders; explains the tasks, timelines and importance of their roles; and requests their leadership donation. The principal may say, "It would be a wonderful start to the campaign if you could consider a gift of $1,000." If the individual responds, "I'd be happy to help out in the campaign as you've asked, but I'll need some time to think about the kind of gift I can make," the principal arranges another time to visit or call in order to get a definite response.

The principal accompanies the campaign leaders to meetings of the parish council, the governing group, and the school community. The chairpersons assist with the review of prospects, suggested giving levels and descriptions of potential donors' interests. Leaders also identify and recruit volunteers to assist in the phonathon.

Qualifications of those chosen to work as volunteers in the phonathon will vary only in degree from those selected for campaign leadership. Normally, they have demonstrated their support for the school in other projects and are known as people who contribute their time and money. The principal does not recruit volunteers for the phonathon. The development director, the campaign chairpersons or the school secretary secures the helpers. The principal attends the phonathon and thanks the volunteers for their participation. As in the case of campaign leadership, volunteers should be prepared to commit to a donation before they ask others to do so. If there is a development director, he or she should conduct the training sessions, which are often held on the evenings of the phonathon. If there is no development director, either the campaign chairperson or the principal can conduct the briefing.

- **The principal as donor**

In addition to the countless ways a principal devotes talents and care to the school family, the annual campaign offers another opportunity to demonstrate that the principal

leads by participating in all of the school's important undertakings. The financial contribution that the school's first leader makes expresses generosity. Although the amount may not match the level of some other donors, it will illustrate sincerity, generosity and a deep commitment to the school. From principal to volunteers to contributors, each recruiter or solicitor starts out as a donor.

• Faculty and staff as donors

Even when one of the priorities in seeking annual giving dollars is to increase salaries for personnel in the school, it is appropriate to request faculty and staff contributions to the campaign. In many schools, faculty and staff giving is an increasingly significant element in the campaign's overall message. The premise behind such giving is that before going to the public for school support, those closest to the school should show their support.

Having donated to the campaign, the principal explains the campaign to members of the faculty and staff and asks for their financial support. This might occur through a written explanation or a presentation shared with a faculty representative or the development director. Some schools use a social gathering for staff and their spouses to launch the pledge appeal. Such an occasion also offers an opportunity to celebrate the role of school personnel in the total development aims of the school. It may be appropriate for the governing group chairperson or general campaign chairperson, if there is one, to host such a gathering. Once faculty and staff giving is an established feature of the annual campaign, the principal recruits a chairperson just as he or she would for the other components of the campaign.

• Coordinating annual giving with fund-raising activities

Development, especially the annual giving campaign, brings a number of new events and activities to the school. A successful development program can gradually eliminate small, less-profitable fund-raisers and allow the school to concentrate eventually on one major parent fund-raiser and one major student fund-raiser, in addition to the annual giving campaign. The principal will need to explain to those involved in organizing fund-raisers what development seeks to do for the school and how it fits in with the activities they sponsor.

People who have worked in fund-raising projects should know that they, along with all other publics, will be solicited in annual giving. It may be difficult to imagine asking the person who has chaired the bingo operation for twenty years to contribute in the annual campaign, but he or she has already demonstrated an obvious commitment to the school and will likely welcome the possibilities that development holds.

Development activities should take precedence in calendar setting and this may mean changing the timing of other fund-raisers in a school. Careful scheduling of all events will prevent the too frequent requests that leave supporters with a sense of being "nickled and dimed to death."

Keeping Records

Development success depends on accurate recording of all appeals and their results. Part of the school's stewardship over its resources is the care with which it accounts for support.

The principal establishes the policies regarding how and when recording takes place. The system of recording and acknowledgement should be able to handle partial payments on pledges, special donor requests about pledge reminders, and records of all direct solicitation calls in addition to mail and phonathon contacts and results.

Some donors designate their annual campaign contributions for a specific purpose such as the library, science equipment or team uniforms. (For information on gift policies, see Appendix F.) Take care in recording, acknowledging and allocating all designated gifts.

Expressing Thanks

The well-worn axiom "You cannot thank people too much" is basic in fostering support of the school. The principal exercises a variety of methods for conveying appreciation in the course of annual development:

- **Donor acknowledgement**

Many schools use both a printed form and a letter from the principal to acknowledge gifts. The development office or school secretary completes the form, giving the donor an easy reference for tax purposes. The principal's letter is essential. The letter should be personalized, including the

salutation. The principal signs each letter and offers a personal expression of appreciation. The body of a standard letter recounts the importance of donors in the goals of the annual campaign. Gifts that follow personal solicitation calls or that are exceptional in some manner require a different letter which refers to the special nature of the gift. The form acknowledgment accompanies the letter or note.

• **Donor recognition**

To thank donors, schools often host a summer gathering. The event can include all donors or only those giving at a certain leadership level. The principal uses the opportunity to thank donors for their generosity, emphasizing the resulting advantages to the students and speaking personally with each guest. It may also be appropriate for the pastor, the governing group chairperson, the head of the development committee or a student representative to express thanks. The principal may offer a token of appreciation to those in attendance.

Other ways the principal can recognize major donors include hosting them at the school for a special function or tour, greeting them at Christmas, presenting a school-related commemorative gift to them and acknowledging their gifts in local publications. Significant acknowledgment is an appropriate and necessary part of the development process.

• **Volunteer and leader acknowledgement**

The principal sends letters of thanks to all leaders and volunteers in the campaign. These letters are more effective if they highlight the specific contributions individuals have made. Some principals use handwritten notes to the chairpersons to express a distinctly personal appreciation for their efforts.

• **Volunteer and leader recognition**

It is common to thank and recognize volunteers and leaders at some form of gathering once the campaign is concluded. A party near the end of the campaign, for example in May or June, comes at a time when workers have campaign acomplishments to celebrate. This is an occasion for the principal and the pastor to express gratitude and to

offer recognition to volunteers and campaign leaders. Some schools give awards for significant service.

• **Staff and planner acknowledgement**

In thanking the pastor, the development staff, and governing and development leaders, the principal may send a personal note, sponsor a dinner or a party, or give a gift to acknowledge those who have served the campaign from its planning stages to its conclusion.

• **Annual report**

An important expression of thanks should come in the form of an annual report that lists all gifts received at the school over a one-year period. If the fiscal year ends June 30, for example, compile all data for the year just ended and issue the report no later than September 1. In the report, the principal offers a summary statement on the year's accomplishments, thanks all who have contributed to its success, and highlights any extraordinary support the school has received during the year. With the exception of those who have requested anonymity, the report lists donors' names under the category they have selected for their gifts. The report can list these names by giving level, constituency or both. The listing distinguishes annual campaign gifts from memorial, capital, endowment and other donations. The report also cites fund-raisers held throughout the year and includes the names of chairpersons and the amounts each fund-raiser was able to generate.

• **Apologies**

On occasion, it is necessary to offer an apology to a donor or potential donor as a result of an error made in the course of development efforts. In such cases, the principal is usually the appropriate person to extend regrets.

Chapter VI. Expanding the Opportunities

When the annual giving campaign is effectively established as the primary source of additional financial support for the school, it is time to enlarge the scope of the development program by considering these possibilities:

Seeking Grants

The principal invites the faculty to project program growth and to identify the expansions, improvements and advancements for specific grant requests. The principal's involvement continues by

1. visiting the foundation's executive director prior to submitting the proposal if possible
2. writing or delegating the writing of the proposal
3. critiquing or providing for the proposal's critique
4. providing for the needed follow-up (press release, report to the foundation, dedication ceremony) or seeking information regarding resubmitting a later proposal to the same source

Part of the school's donor research should determine which community foundations and corporations give grants. The more research available through the development program's efforts, the more precisely the school can apply to appropriate sources. The principal selects and approves the projects for grant proposals.

The key to successful grant proposals is ensuring the closest match possible between the goals of the granting organization and the terms of the school's proposal. Because the process is highly selective, chances for success evaporate when the proposal's request lies outside the normal sphere of funded projects. The foundation will provide information on request about the types of projects for which they receive applications. In order to judge whether the school should apply, it is helpful to study recent recipients of the foundation's grants and to meet personally with the director if possible.

Writing the proposal is an exercise in precision. The finished product must remain within the guidelines and should be professionally executed in both substance and appearance. Present the proposal as indicated by the foundation or corporation. Most proposals are mailed to the organization; some may require a cover letter from the principal. If a presentation is required, after extensive research and preparation, the principal presents the proposal with someone from the governing group or development committee who is influential in community activities.

If the school is applying to a foundation or corporation, the principal may find a way to communicate through a development committee member or directly with an executive, a trustee or a family member (in the case of a private foundation). This is an opportunity to make a more informal presentation of the school's long-range plans and the worthiness of the proposal. Acquainting a trustee with the school's case for support can prove very helpful when the foundation makes decisions for allocating funds.

Granting sources should receive copies of the annual report and school brochures. Performing extraordinarily well on limited budgets, Catholic schools often prove attractive to the trustees of these organizations.

The application is worth the considerable effort it requires not only for the gift amount received but also for the likelihood that the school can return to the source in the future. (See *Seeking Foundation Grants* by Barbara Stewart Gary, NCEA, 1988.)

Planned Giving Programs

The school's long-range goals should include a program for planned giving, allowing friends of the school to name it as beneficiary in wills, trusts and insurance policies. The return on this component of development is so significant in comparison with the time and money expended that it ranks among the most essential programs to implement.

The principal's responsibilities in planned giving include

1. researching available options for inclusion in the program
2. locating professional assistance for planning and ongoing consultation
3. publicizing options available to benefactors
4. asking selected individuals to remember the school through the program

With the aid of publications and counsel from development professionals, attorneys, financial planners or insurance agents, research the types of programs available for planned giving. The greater the options available to potential benefactors, the more likely it is that individuals will include the school in their future plans. Either the principal or the development director should be prepared to answer questions about the options and to direct interested individuals to their own legal and financial advisors for further help or to professionals who have agreed to assist the school in planned giving counseling.

Regularly publish planned gift opportunities through an annual letter and a planned giving brochure sent to all on the school's mailing list. Regularly use the development newsletter or school quarterly to promote planned giving.

Schools can host information sessions for small groups of individuals who are interested in learning more about planned giving, followed by individual calls for further discussion of the options, or the school can set such appointments without a prior information session. In either approach, individuals are asked to notify the school that they have arranged such a gift.

If someone proposes a planned gift beyond the school's current options, seek counsel immediately and accept the gift only after clearly determining the implications for the school. Some complicated insurance programs, for example, require the school to pay premiums on the anticipated gift. This calls for legal advice and the recommendation of the development and finance committees before proceeding.

The Capital Campaign

Capital campaigns seek funds for a single project or for a variety of projects such as building improvements, scholarships and endowment. The campaign demands extensive planning and solicitation and is a major undertaking for the principal and all others in development.

When planning a capital campaign, it is important to know that a principal will devote at least 25% of his or her time to campaign-related meetings, solicitation and communication. Many of the principal's responsibilities parallel those in the annual giving campaign, including

1. clarifying funding needs
2. researching potential donors
3. approving a schedule for the campaign and for solicitation
4. identifying leadership and securing volunteers
5. communicating the case for support
6. soliciting donations
7. monitoring progress

In a capital campaign, every dollar is needed to fund the planned projects. Sizable major gifts are imperative, since the same donors-to-dollars ratio (10% to 20% of the donors contribute 80% to 90% of the dollars) applies as it does in the annual giving campaign. Due to the scope of a capital campaign, it is usually advantageous for the school to contract with a professional development consultant. As a rule, the larger the goal, the greater the need for outside consultation. Take great care in selecting the appropriate consultant.

Chapter VII. Evaluating Development Performance

The Principal's Effectiveness

At an established time, the principal prepares an evaluation of his or her own effectiveness in the school's annual development efforts. Present the evaluation in written or discussion form to the individual or group to whom the principal is accountable. The principal's job description and development goals construct the framework for this evaluation. The following are areas for inclusion in the principal's self-evaluation:

1. results in the three development goal areas: the annual giving campaign, enrollment and public relations
2. communication with the pastor, governing individuals, and the school community about plans and progress in development
3. ability to work with members of the development committee and the governing group
4. effectiveness in direct solicitation contacts with individuals, businesses and foundations

The Development Director's Effectiveness

Once a year, the principal should conduct a formal evaluation of the development director's performance according to an agreed-upon schedule. Most principals ask the development director to prepare an evaluation of performance based on the priorities and the objectives the principal and the director accepted earlier in the year. The director gives this self-evaluation to the principal prior to their meeting. The principal reviews the evaluation and comments on its content with these questions in mind:

1. How effectively has the development director pursued each item on the agenda?
2. Is the director's time divided appropriately among the various objectives of annual giving, recruitment and public relations?
3. Does the director balance the need to seek advice and direction with the need to take initiative?
4. Has the director met established goals?
5. What new methods has the director brought to meeting the objectives?
6. Were records and correspondence carefully managed?
7. Were dollar goals, solicitation contact goals and research goals met?
8. Were enrollment goals met?
9. Were public relations goals met?

In addition, the director and the principal assess the director's rapport with the staff, development committee and governing group members, and volunteers.

The principal acknowledges the development director's successes. Areas for improvement in performance should be incorporated into the director's next set of objectives.

Usually, the development director is one of the people who works most closely with the principal in implementing the vision and goals of the school. Thus, the more the principal and development director create a positive partnership, the greater the progress they experience. The evaluation conference should strengthen that partnership.

The Total Program

Near the end of the school year or after the year in development has officially closed, an evaluation of the school's total development effort takes place. The development committee should be asked to prepare a report that lists the goals they adopted at the beginning of the year and

the progress they have made in meeting each of them. Include initiatives that were not planned then but were started later and rate them according to their merits and effectiveness. Identify areas for strengthening the budget, planning and personnel, slating them for incorporation in future development plans.

Normally, the principal discusses and refines the report's contents with the development committee before presenting the report to the pastor and governing group. It is the pastor's and the governing group's responsibility to receive the report, comment on it, acknowledge accomplishments, offer suggestions and set directions for the next year.

Chapter VIII. Renewing the Process

Budgeting for Growth

As the budget is prepared for the coming year, it should allow for expansion into the next necessary area in order to create a total development program. After consulting with the development director, the principal often acts as the one who proposes the elements that a growing office requires.

Increased solicitation of major gifts and steady growth in annual campaign participation leads to the addition of a planned giving program, grant proposals or a capital campaign, which require additional staff, funds and programs.

It helps to offer realistic projections of the return on the proposed investment in personnel or equipment. What will the improvement afford in time and additional income? When resources are managed well, every additional aid to development efforts can demonstrate results that more than justify the additional expense. Even when finances are limited, the development office is not the place to scrimp. Research shows that the cost of raising money actually decreases when more money is spent on development.

Expanding Development

Once the development committee is accustomed to a regular process of updating the short- and long-range plans for development, planning becomes a natural and accepted feature of the program. The principal makes sure that each year begins with agreement on important goals for the year and that the longer-range plans are updated on a regular

basis. The administrator leads in planning, involving volunteers with planning expertise in the process.

Learning More about Development

The principal, the pastor, the development director and all leaders at the school level should continually deepen and refine their understanding of development. Development knowledge is enhanced by meeting with others in the field. As a science, development is perfected through study and experience. As an art, it becomes more natural, central and exciting to the individuals actively building the school's future by ensuring and sustaining high-quality service in Catholic education.

Chapter IX. Conclusion

The guidelines presented here offer an overview of the Catholic school principal's role in development. The availability of people and materials in terms of resources grows steadily. Administrators work together to share their knowledge, experience and expertise.

Development offers a means to the full expression of hope in Catholic education. It builds on the faith and the love that already exist in Catholic schools, bringing with it the kind of plan required by those who want to multiply the dreams of the school community.

Catholic schools will continue to require as much human concern as technical know-how. Development combines the need for care and skill with the principal's traditional roles as giver, receiver, teacher and leader.

Appendices

Appendix A: Organizations Providing Development Information

1. National Catholic Educational Association (NCEA)
   Suite 100
   1077 30th Street, N.W.
   Washington, D.C. 20007-3852
   (202) 337-6232

NCEA publishes a variety of development-related fastbacks, holds an annual convention in the spring that provides presentations on development topics, and features two pages on development in each issue of *NCEA Notes*.

2. Council for the Advancement and Support of Education (CASE)
   Suite 400
   11 Dupont Circle
   Washington, D.C. 20036
   (202) 328-5954

CASE publishes resources for use in education-related development, which are for sale to members and non-members. Members receive a monthly development-related magazine. Workshops and conferences are held throughout the United States at various times during the year.

3. National Society of Fund Raising Executives (NSFRE)
   Suite 300
   1101 King Street
   Alexandria, Virginia 22314
   (703) 684-0410

NSFRE is organized in local chapters throughout the United States. It offers a variety of printed materials and professional services to members.

4. Public Relations Society of America (PRSA)
   Information Center
   845 Third Avenue, 12th Floor
   New York, New York 10022
   (212) 995-2230

PRSA publishes a monthly journal and offers a wide range of services to members of its local chapters throughout the United States.

Appendix B: Principal's Checklist for Development

The principal either provides for or directly does the following tasks:

Summer (June to August)

_____ orientate new leaders to their respective responsibilities
_____ meet with development director to outline priorities
_____ finalize annual giving campaign materials and phonathon planning
_____ order printed materials for development use
_____ finalize calendar for development groups and events
_____ establish public relations schedule for press releases and announcements
_____ approve/design publication schedule for development communications
_____ complete annual report and principal's message to be mailed in August
_____ attend/host donor recognition party
_____ oversee writing of foundation/corporation grant proposals
_____ set aside time for development reading and education
_____ set enrollment goals, main recruitment activities and calendar

Fall (September to November)

_____ conduct annual giving campaign "kick-off" event
_____ renew planning process and update goals
_____ establish priorities for year in consultation with development committee
_____ send annual appeal solicitation letters
_____ invite faculty participation in annual campaign and marketing events
_____ donate to annual giving campaign
_____ attend phonathons
_____ monitor progress of annual giving campaign
_____ work with marketing committee to finalize marketing plan
_____ provide for planning of open house
_____ finalize student application materials and procedures
_____ begin personal solicitation calls

Winter (December to February)

_____ conduct open house
_____ thank annual giving campaign volunteers with letters
_____ sponsor events for bringing prospective families/students to school
_____ prepare preliminary budget; include development needs
_____ update facilities master plan as necessary
_____ research foundation/corporate sources for future requests
_____ conduct personal solicitation calls

Spring (March to May)

_____ design staffing plan for coming year; include delegation of duties
_____ recruit leadership for fall annual giving campaign
_____ present projected needs to pastor, governing group and development committee
_____ recruit governing group and development committee members for next year
_____ finalize budget for coming year
_____ conduct search for development personnel
_____ begin preparation of annual report
_____ evaluate yearly performance of principal, development director and development program
_____ initiate donor research for fall annual giving campaign
_____ attend/host appreciation event for annual giving campaign leaders and volunteers

Non-seasonal

_____ acknowledge all gifts when received
_____ publicize planned giving opportunities
_____ publicize major gifts received
_____ conduct events for grandparents, graduates and friends of school
_____ educate others on meaning of development

Appendix C: The Annual Giving Campaign (from *NCEA Notes*, vol. 23, no. 1, September 1990, p. 5)

The annual giving campaign

The annual fund appeals to each of the school's constituencies, inviting donations for the current school year. The fund drive defines a dollar goal and the purposes for which the monies will be spent. Three solicitation approaches constitute the campaign's basic methods: mail, telephone and, for some donors, personal visits. An annual drive does not include fund-raising events such as raffles, auctions, etc. Special events generate other operational or project monies, but they are not considered part of the annual giving program.

Campaign leadership

The campaign structure requires volunteer and school leadership. Volunteer leadership usually comes from significant donors, members of the development council, and members of the school's governing group. The campaign leadership positions include a general chairperson, and chairpersons for each of these five subdivisions: parents, alumni, past parents, businesses, friends (including parishioners). The school leadership involves the principal and the development director, and in some schools, other development personnel.

Volunteer leaders assist in the following ways:

- establish the dollar goal for the appeal
- identify individuals to be visited personally for donations
- assist with donor research
- make solicitation calls with another school representative
- attend two socials—"campaign launch" and appreciation event
- recruit volunteers for the phonathon

Campaign timeline

Since the appeal is for the current year, September is the ideal month to begin the campaign with the mail solicitation scheduled to arrive by the end of the month. (Solicitation letters should be sent first class.) Within two weeks of the letter, the school conducts a phone solicitation, reinforcing the request. Immediately after the phone contact, the school sends a written confirmation of the pledge. This schedule allows the leadership to concentrate on personal visits with major donors in November and December, when people are considering their tax situation prior to year end. January through April is a time to complete personal visits which were requested to be held later, as well as a time to send reminders for uncollected pledges. In May and June, the annual report is prepared and the donor recognition event planned.

Appendix D: The Solicitation Letter (from *NCEA Notes,* vol. 23, no. 1, September 1990, pp. 5-6)

The solicitation letter

This letter is designed to:

- motivate the recipient to donate to the annual fund
- state the specific dollar goal of the appeal
- list three to five uses for the fund
- suggest a gift amount for the donor's consideration
- project stability, quality and future growth

The ways the school will use the requested money usually include a variety of areas: scholarships, a specific curriculum program, teachers' professional enhancement, physical plant improvements, and capital outlay items. The dollar goal sought must be realistic both in the amount possible from the school community and in the amount needed.

The giving capabilities of each donor necessitates that the same amount is *not* asked of everyone. Say, "Please consider our goal of XXX and make your gift a generous statement of support." If the school has the computer capabilities, the letter should be personalized, both by name and by suggested gift amounts. The letters can vary by gift levels such as, $5-$25, $25-$100, $100-$250, $250-$400.

Avoid such phrases as the following: "every little bit helps...if everyone gives $25 we will make our goal...whatever you do will be greatly appreciated." Rather, state, "Catholic education deserves our finest support...every gift directly benefits our students...we rely on your generous response."

The letter states that the gift is tax deductible; the gift may be paid now, pledged, or paid in installments; the campaign ends May 30. This one-page letter, on school stationary, is signed by the principal (not the development director) and the chairperson.

Everyone, except those donors who will be visited personally, receives the letter. Parents, former parents, graduates, friends, businesses, parishioners and faculty are included in the appeal.

Solicitation letter enclosures

The solicitation letter includes an addressed, return envelope and possibly an annual giving campaign brochure. See the example below for the information printed inside the response envelope.

If the school prepares a campaign brochure to motivate donors, it should highlight the purposes of the dollar goal as they directly benefit students. Some schools design a specific theme for the appeal: many include photographs in their appeal leaflet. Pictures should feature students rather than school buildings, and they should convey academic, co-curricular and

religious aspects. Photographs should be large, clear, close-up and convey the feeling of the school. The brochure usually includes a listing of the campaign leaders by name and profession, the annual giving "clubs" or categories, and reminds donors about matching gift companies and the tax deductible status of the donations.

Envelope information sample
SCHOOL 1990 ANNUAL FUND

I/we give $ _____ to the Annual Fund.
❑Principal's Club ($5000 or more)
❑Benefactor's Club ($2500-4999)
❑Patron's Club ($1000-2499)
❑Red and White Club ($500-999)
❑Honor Roll Club ($100-499)
❑Friends Club (up to $99)

❑Enclosed $ _____
❑By pledge payments as follows:

$ _____ in Oct. '90	$ _____ in Feb. '91
$ _____ in Nov. '90	$ _____ in March '91
$ _____ in Dec. '90	$ _____ in April '91
$ _____ in Jan. '91	$ _____ in May '91

Name/s:_____

If a graduate, class of _____Maiden Name: _____ Class_____

Street: _____

City: _____State: _____Zip: _____

Phone: (_____) _____
❑My company will match my contribution.

Company: _____

❑Please send me information concerning wills, bequests and life insurance for the benefit of _____ school.

Please make checks payable to: _____

Appendix E: The Phonathon (from *NCEA Notes*, vol. 23, no. 2, November 1990, pp. 12-13)

The phonathon

Within two weeks after prospective donors receive the annual appeal letter, the school reiterates the donation request by a phone call. The phonathon requires extensive planning and many volunteers. Nevertheless, when schools follow their solicitation letter with a phone call, most schools report at least a threefold dollar increase (with some schools reporting as high as a 10-fold dollar increase) over the monies that the letter alone secures.

Unquestionably, the phonathon has a significant impact on the total dollars raised while providing a more personal contact between the school and each of its constituents: parents, past parents, graduates, parishioners and friends.

Before the phonathon

- Secure the use of a facility with 10 or more lines located near each other to manage details more easily and to build positive spirit among the volunteers. The more phone lines, the fewer nights needed to complete the calls.
- Recruit volunteers from parents, past parents, graduates, governing groups, faculty and carefully selected high school students. Try to exceed the actual number of volunteers needed by 30% to handle other tasks or to replace those who cancel. Other people will need to help the leader (principal, development director) to recruit volunteers. Two ways the school can ask for help are through the newsletter (with a clip-out response form) and by having sign-up sheets at parent functions.
- Prepare individual donor cards with all the available information (see phonathon form). The donor's history allows the caller to express gratitude for previous generosity and to suggest an amount appropriate to the donor's giving history.
- Arrange the donor cards into four sections: A-previous donors; B-probable donors with no giving history (consider age, current and prior relationship to the school and socioeconomic level); C-possible donors (usually arranged by year of graduation, older to younger); D-unlikely donors (those contacted by letter and phone in the last three years without contributing). Begin with the A Group and proceed in order.
- Provide training packets, with a sample script, phonathon forms, a question and answer sheet, and a school fact sheet.

- Make the food arrangements such that you can orientate the volunteers while they eat.

At the phonathon

The typical **schedule** starts at 5:30 p.m. with orientation/dinner. Between 6:15 and 9:15 calls are placed, including long-distance contacts adjusted to time differences. Callers average 20 completed calls per hour. Any volunteer may phone any donor (not just alumni calling alumni, etc.), but the best phoners should call those with a history of larger gifts.

The **call** includes the following:

- identify yourself and your school
- state that the call is about the annual giving campaign
- tell the amount of the dollar goal and its purposes
- ask for a specific gift amount
- wait for the answer
- thank the donor or suggest a lower amount and remind him/her that monthly payments are possible through May 1991
- close the call graciously

Each caller **records** on the donor's form for each number dialed (see sample).

During the phoning, the donor pledges are collected, tallied and the total announced at the end of the evening.

After the phonathon

Donors: Within two weeks, the school mails a letter to all persons contacted 1) to thank them for their specific pledge amount, or 2) to encourage those responding "maybe" to become a "yes" response, or 3) to ask those responding "no" to keep the campaign in their prayers and to thank them for the contact. The school records all pledges, establishes donor files for each person contacted, and sets up a billing procedure and an acknowledgement process.

Volunteers: The principal sends a thank you note to each volunteer; in the next newsletter and in the annual report, the names of all phonathon volunteers are listed.

School family: The annual giving campaign progress should be reported regularly in parish bulletins and in school newsletters.

Phonathon Form

Name _____ Changes (in name, etc.)_____

Maiden Name _____ _____

Spouse _____ _____

Address _____ _____

City_____State____Zip _____ _____

Phone ( ) _____ _____

Time zone: ❑ Pacific ❑ Mountain ❑ Central ❑ Eastern

❑ Graduate 19____ ❑ Parent ❑ Past Parent ❑ Parishioner ❑ Friend

Children/year _____

_____

_____

Request level _____Pledge_____Pay method_____

Matching gift company ❑ yes ❑ no Starting date_____

Giving History

19____	19____	19____	19____	19____	19____	19____
$_____	$_____	$_____	$_____	$_____	$_____	$_____

	1	2	3	4
Caller name				
Date				
No contact				
Will give				
Will consider				
Sent info.				
Not this year				
Call back on:				

Caller comments (date each and use back if necessary)

_____

_____

_____

Appendix F: Policies on Gifts

The purpose of gift policies is to describe for solicitors the giving options available and to provide guidance to donors in selecting an appropriate form of gift. A good place to start learning about gift policies is another school that has developed a comprehensive policy for all gifts.

Generally, policies first distinguish annual from capital gifts. Annual gifts are made in response to the school's annual giving appeal and their use is designated by the school each year. In the course of a capital campaign, donors make capital gifts and select their use from a range of choices offered in the campaign design. Local policies should resolve questions about matching gifts, memorial gifts, and other forms of gifts.

Matching gifts

Employers make matching gifts to encourage charitable giving among their employees. Solicitors should be aware of which corporations offer matching gift possibilities. The school's procedures address the following questions:

* Is the school ready to process matching gift forms received with donations?
* Will the school enclose matching gift information to employees of matching gift companies?
* Will the school send a special acknowledgment and copies of its publication to matching gift companies?

Challenge gifts

A challenge gift is a certain gift amount a donor offers if the school can raise a similar amount from another source within a given time period. The school decides under what circumstances it can accept a challenge gift.

Memorial gifts

These gifts are named in a person's honor, whether he or she is living or deceased. Pertinent questions regarding such gifts include

* Will the school accept any gift or only certain kinds as a memorial?
* Under what conditions will the school dedicate an item to someone's memory?
* What response will the school make to the donor's suggestions for the gift's use?
* Who discusses memorial designations with the donor?
* Is there a plaque for inscribing memorials?
* How will the school handle memorial gifts from non-family members and inform members of the family?

When someone associated with the school dies, either the family or the

school can establish a memorial fund at the school in the person's memory. If the family wishes a memorial, these policy questions should be addressed:

* Will the school assist in publicizing such funds?
* Will the school provide the family with only a list of contributors or share information on amounts donated?
* Will the school name a scholarship for the deceased?
* Will the scholarship serve as a permanent endowment or be distributed as it is received?
* Can the donor set stipulations on scholarship recipients?
* Will the school inform the donor of recipients' names and will recipients communicate with the donor or the family of the deceased?

Endowments

Endowments are permanent gifts through which the donor makes a major financial contribution to the school with the stipulation that the school agrees never to spend the principal of the donation (unless the donor instructs otherwise). The school uses the interest annually in accordance with the donor's restrictions and foundation bylaws governing the uses of the interest. The following questions should be addressed when considering endowments:

* Is there a minimum amount for contributions to be endowable?
* Will the school notify donors of when and how the interest is to be used?

With gifts of securities and real estate, the issues often are:

* Does the school intend to keep securities or real estate as they appreciate in value?
* Does the school have the donor's approval to convert the gift to cash and use the proceeds?

The possibility of someone naming the school as beneficiary in a trust or insurance program raises policy questions that are best answered with the advice of an attorney. The following are matters related to donations received through a bequest or life insurance policy:

* Will unexpected bequest amounts go to operations, endowment or special memorial use? Who has the authority to make the designation?
* Will those who have named the school as a beneficiary be included in a giving club or in gift reporting? If so, what documentation is required for eligibility?
* Will the gift be publicized in school publications or local newspapers?

Gifts-in-kind

A gifts-in-kind policy gives guidance when someone calls to ask if the school can use a certain item, for example a copier, a car, or a supply of three-ring binders.

The school policy addresses these issues:

* Does the donor care if the school disposes of the property as it sees fit?
* Will gifts-in-kind be included in the annual report?
* Will the school acknowledge the gift as representing the donor's assigned dollar value, the school's assessment of value, or simply as material with no assessed value?

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National Catholic Educational Association
1077 30th Street, NW, Suite 100
Washington, DC 20007-3852

(202) 337-6232